Case File
O / Personal

17 August 1962

MEMORANDUM FOR: Director of Personnel

FROM: Chief, Transactions & Records Branch, RSD

SUBJECT: Study of Applicant Records and
                 Recommended Retention Schedules

I. PROBLEM

    The volume of applicant files and cards has always created a chronic
space and storage problem because there was no practical or systematic
schedule for retention of such records. The problem is now acute. The
active files are full and overflowing. The Records Center has refused to
accept twenty-eight boxes of coded files which must be retired to make room
for new files being created. Control card trays are nearly full and new
ones must be ordered for cards which will be created during the next year.
Even more important operationally, the search for active cards is extremely
inefficient because of the large volume of cards inactive five to thirteen
years interspersed in the trays.

II. DISCUSSION

    Expediency dictates that a file and control card be made for nearly
all correspondence received in the Files Section. As a result, over 50
per cent of the papers and cards represent rejects without formal applica-
tion or failure to return forms. (It should be noted that DRB forwards to
the Files Section only completed applications and a minimum number of
special interest reject cards.)

    The Office of Personnel has alternated between a ruthless destruction
program (with resultant moments of embarrassment) and a "retain indefinitely"
program. Except for destruction after two years of applications from
individuals twenty-one years or younger, we are now operating under a "retain
indefinitely" policy.

    The categories of applicant records and recommended disposition for each
group are discussed below.

GROUP 1
Excluded from automatic
downgrading and
declassification

III. APPLICANT CARDS

    A. Volume

        As of 31 July 1962 there were approximately [____] cards
        in the applicant card files. New cards are being added at the
        rate of [____] a year.

25X1   25X1

    B. Composition

        The cards fall into the following four major categories:

Type	Per Cent
1. Cards indicating special interest and control cards showing previous routing and current location of file	24
2. Record of Destroyed Applicant File (Form 37)	21
3. Contact Letter Control (Form 38)	6
4. Interview Report Cards (Form 87)	49
Total	100

    C. Recommendations

        The following retention schedules are recommended:

        1. Special Interest and Control Cards

            a. Retain indefinitely all special interest cards
               until notification is received that special
               interest no longer exists.

            b. Retain control cards showing location of all
               existent files. These cards will be remade
               or destroyed in accordance with procedures
               and schedules for retention of files discussed
               under Applicant Files below.

        2. Record of Destroyed Applicant File

            a. Retain indefinitely Record of Destroyed Applicant
               File indicating special interest, Security and
               Panel disapproval and unfavorable assessment.

            b. Retain record of destroyed applicant file indicating
               Medical disapproval five years.

    c. Destroy all other cards which indicate file was
destroyed two or more years ago.

3. Contact Letter Control

    Destroy all Contact Letter Control cards after
two years if no reply or formal application has
been received. (If an application had been received
this card would have been replaced by a control card
discussed under III C 1 above.)

4. Interview Report Cards

    a. Destroy all Interview Report Cards after two years
unless there is

      (1) Indication of special interest,
      (2) Indication of potential problems,
      (3) Deferred interest,
      (4) Tickled for future contact.

    b. Retain for five years the four categories listed
above, then review individually prior to destruction
retaining any which indicate activity within the
five year period or which have been deferred or
tickled for a later date.

      The bulk of the existing Interview Report Cards
date from 1952 through 1958 when cards were prepared
on all DRB and a few field applicants who were rejected
at the time of the interview or who failed to file a
completed application. Few cards are now prepared--
less than [ ] a year--and these will normally fall in
the five year retention category.)

25X1

IV. APPLICANT FILES

A. Volume

    There are currently 382 boxes of applicant files on deposit
at the Records Center--approximately [ ] files. The capacity
of the active file shelves is about [ ] Files coded during
the last three years are retained in the active files. Other
files must be retired after one year in order to make room for the
[ ] files being established yearly.

25X1
25X1

25X1

B. Composition

    Based upon a sampling of files on the active shelves, their
composition is as follows:

Type	Per Cent
1. Coded Applicant files	Less than 1
2. Congressional and special interest files	5
3. Completed applications cancelled after security initiation	20
4. Completed cases rejected initially	13
5. Personal Résumé (Form 444a)	15
6. Correspondence and incomplete applications	46
Total	100

C. Recommendations

   In all retention schedules listed below the period of retention is computed from the date of last contact with the applicant or activity of the file. Files Section will restamp the current year's date on the file each different year it is charged out from either active or Records Center files. The following retention schedules are recommended:

   1. Coded Files

      a. Retain all coded files in the active files three years and then retire to the Records Center.

      b. Five years from the date coded, recall all coded files for review by POD to determine whether they are to be retained on the active list and returned to the Records Center or deleted and destroyed together with the control card.

      The files have not been reviewed since 1958 which accounts for the fact that 88 per cent of the coded files date bac⊦ five years or more. Listed below is the number of files by year coded. POD should review all those coded in 1957 or earlier initially and thereafter each year those five years old.

Year Coded	Number
1953	13
1954	7
1955	1040
1956	1570

Year Coded	Number
1957	1254
1958	311
1959	85
1960	99
1961	43

| | Total | 4422 |

2. **Congressional and Special Interest Files**

    a. Retain all Congressional and special interest or problem cases one year in active files and an additional four years at the Records Center, at which time they should be recalled and reviewed by Chief, Transactions & Records Branch.

    b. If the special interest party is still active (holding office, with the Agency, etc.) prepare a file destroyed card summarizing the case for retention in the applicant cards.

    c. If the individual interested in the case is no longer active, destroy the file and the control card.

3. **Complete Applications Cancelled after Security Initiation**

    a. Retain all cancelled applications in active files one year and then retire to Records Center with one of the following schedules for retention.

    b. Retain Security, Panel, and Unfavorable Assessment rejects at the Records Center four years, at which time they should be recalled and reviewed by Chief, Transactions & Records Branch. Prepare File Destroyed Cards with the Office of Security case number, the date of the Panel decision, or the year of the assessment, whichever is pertinent.

    c. Retain all cancelled cases of applicants who were twenty-one years old or younger at time of application two years at the Records Center and then destroy along with the control card.

    d. Retain all other cancelled cases four years (unless coded) and then destroy along with the control card.

4. **Completed Applications Rejected Initially**

    a. Retain all completed applications of applicants twenty-one years old or younger who were rejected initially one year in active files and two years at the Records Center prior to the destruction of both file and control card.

    b. Retain all other completed applications rejected initially one year in active files and four years at the Records Center prior to destroying both file and control card.

5. **Personal Résumé (Form 444a)**

    Retain all personal résumés one year in active files and two years at the Records Center prior to destroying both file and control card.

6. **Correspondence and Incomplete Applications**

    Retain all incomplete files not falling in one of the categories above in active files one year, at the Records Center two years, and then destroy together with the control cards.

7. **Deposit of Files at the Records Center**

    Review all files prior to deposit at the Records Center and sort according to retention periods established. Deposit files with the same scheduled destruction or review date together under separate job numbers and mark the control cards with this job number and date to expedite purging or review of records at the end of the retention period. Change the date on the control card to reflect a new retention period each time a file is withdrawn from the Records Center for review.

8. **Review of Files Currently at the Records Center**

    Recall files that are among the 382 boxes of applications at the Records Center and apply the foregoing standards prior to redeposit, destruction, or summarization of application on card for retention.

V. SUMMARY

If the recommended retention schedules are adopted

25X1   A. [   ] to [   ] applicant cards can be eliminated, representing 58 to 63 per cent of the existing cards.

25X1

B. Approximately [____] files can be destroyed, representing 38 per cent of the files at Records Center.

C. Instead of ordering a new bank of card trays, two units can be eliminated.

D. Greater efficiency in searching for active control cards will be realized.

E. Retention of files of "chronic" applicants is guaranteed.

F. Both the deposit and destruction of files no longer of value will be expedited **and** Records Center will accept our current deposit.

G. There will be a scheduled review of files by either TRB or POD after deposit at the Records Center.

H. There should be no embarrassment to the Office of Personnel or the Agency over missing records providing the Agency's reject letters are changed so the impression is not given the applicant that his file remains active indefinitely.

STAT

Chief, Transactions & Records Branch

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CONCURRENCE:

Chief, Personnel Operations Division

Date: _17 Aug 62_

Records Administration Officer

Date: _____

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Date: _19 Sept 1962_